



NEW YORK
STATE OF
OPPORTUNITY

**Environmental
Facilities Corporation**



**2014 GIGP Awardee
Village of Great Neck Plaza**

2022 Green Innovation Grant Program Awarded Project Kickoff Webinar

**Kathy Hochul
Governor**

**Maureen A. Coleman
President & CEO**

Checklist Basics

- Broken into 3 parts
- **Part 1 Grant Agreement Documents**
 - **Deadline May 31, 2023**
- Part 2-Documents needed for EFC to disburse/pay contracts
- Part 3-Project closeout/retainage release
- Project contacts listed at the top of the checklist
- Follow along with checklist sent with award letter as we walk through each section



Website: <http://efc.ny.gov/GIGP>

Checklist

Provided with Award Letter. Note because of new project category types there are two checklists. Treatment Works & Non-Treatment Works.



Green Innovation Grant Program (GIGP) PROJECT CHECKLIST Clean Water Act Treatment Works – Construction

Applicant Name: _____ EFC Primary Contact: _____
Project Name: _____ EFC Landscape Architect: _____
GIGP Application No.: _____ EFC Engineer: _____
CWSRF Project No.: _____ EFC MWBE Rep: _____
Award Amount: _____

Deadline for Grant Agreement Documentation: [DATE]

The following is a list of the necessary documentation to be submitted to EFC for the Green Innovation Grant Program. Please use this list as a guide for submitting all items required for your project.

- Section I items are required before EFC will enter into a Grant Agreement.
- Section II items are required before grant funds will be disbursed for your project.
- Section III items are required before retainage will be released and project is closed out.

Section I. Items required PRIOR TO Grant Agreement (# 1 - 7)

Please provide the following information:

1.) PROJECT SCHEDULE:

☐ Target Dates: Design Consultant Contracted: ____/____/____
SEQR Completion: ____/____/____
Plans & Specifications to EFC: ____/____/____
Bid Announcement: ____/____/____
Contract(s) Award: ____/____/____
Permits Obtained: ____/____/____
Construction Commencement: ____/____/____
Construction Completion: ____/____/____

2.) ENGINEERING REPORT:

- ☐ EFC Approved Engineering Report, signed and stamped by licensed professional
 - Note: Revisions/additions to the Engineering Report may be required prior to approval
- ☐ EFC Cost & Effectiveness Certification

3.) BUDGET & FINANCING:

- ☐ Estimated Project Costs/Exhibit C
- ☐ Detailed Plan of Finance Letter- specifying all sources of project funding may be required prior to approval
- ☐ Single Audit requirements in accordance with 2 CFR Part 200, subpart F
- ☐ DUNS Number: _____



Green Innovation Grant Program (GIGP) PROJECT CHECKLIST Clean Water Act Non-Treatment Works – Construction

Applicant Name: _____ EFC Primary Contact: _____
Project Name: _____ EFC Landscape Architect: _____
GIGP Application No.: _____ EFC Engineer: _____
CWSRF Project No.: _____ EFC MWBE Rep: _____
Award Amount: _____

Deadline for Grant Agreement Documentation: [DATE]

The following is a list of the necessary documentation to be submitted to EFC for the Green Innovation Grant Program. Please use this list as a guide for submitting all items required for your project.

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Construction Completion: ____/____/____

2.) FEASIBILITY STUDY:

- ☐ EFC Approved Feasibility Study, signed and stamped by licensed professional
 - Note: Revisions/additions to the Feasibility Study may be required prior to approval
- ☐ EFC Cost & Effectiveness Certification

3.) BUDGET & FINANCING:

- ☐ Estimated Project Costs/Exhibit C
- ☐ Detailed Plan of Finance Letter- specifying all sources of project funding may be required prior to approval
- ☐ Single Audit requirements in accordance with 2 CFR Part 200, subpart F
- ☐ DUNS Number: _____

Section 1 - Project Schedule

Provide Target Dates to EFC for project milestones including:

- Design Consultant Contracted
- Environmental Review
- **EFC Grant Agreement Execution**
- Plans & Specifications to EFC
- Bid Announcement
- Contract Award
- Permits Obtained
- Construction Commencement
- Construction Completion

Section 1 - Report Review

EFC is in the process of reviewing feasibility study/engineering report submitted as part of the GIGP. Revisions may be needed to engineering report/feasibility study. EFC will coordinate a technical call to discuss potential modifications (if applicable)

Note:

- Once finalized reports must be signed and stamped by a NYS Licensed Professional (Professional Engineer, Registered Landscape Architect or Architect)
- Cost & Effectiveness Certification required to approve final report/feasibility study
 - “Study and evaluation of the cost and effectiveness of the processes, materials, techniques, and technologies for carrying out the proposed project or actively for which assistance is being sought from the New York State Clean Water State Revolving Fund”

Section 1 - Budget & Financing

The following is a list of the items needed to further understand the budget for your project:

- Estimated Project Costs/Exhibit C
 - Excel spreadsheet that shows breakdown of EFC cost
- Detailed Plan of Finance Letter
 - Specifying all sources of project funding (if applicable)
- DUNS Number
 - Unique nine-digit identifier

Section 1 - Legal

- Title Certification
 - Self certification that the applicant has the legal right to own, operate and maintain the project site
- Certified Copy of Authorized Representative (by title) & Local Match Funding Resolutions – of eligible GIGP total project costs only
 - By title is important in case of personnel change
- Bond Resolutions, Estoppel Notice & Permissive Referendum
 - Needed if local match for project is being bonded
- Third-Party Funding Agreement
 - Needed if there are third party agreements to pay for project
- Copy of Inter-Municipal Agreement
 - Needed only if applicable

Section 1 - Environmental Review

SHPO (State Historic Preservation Office-NYS Parks)

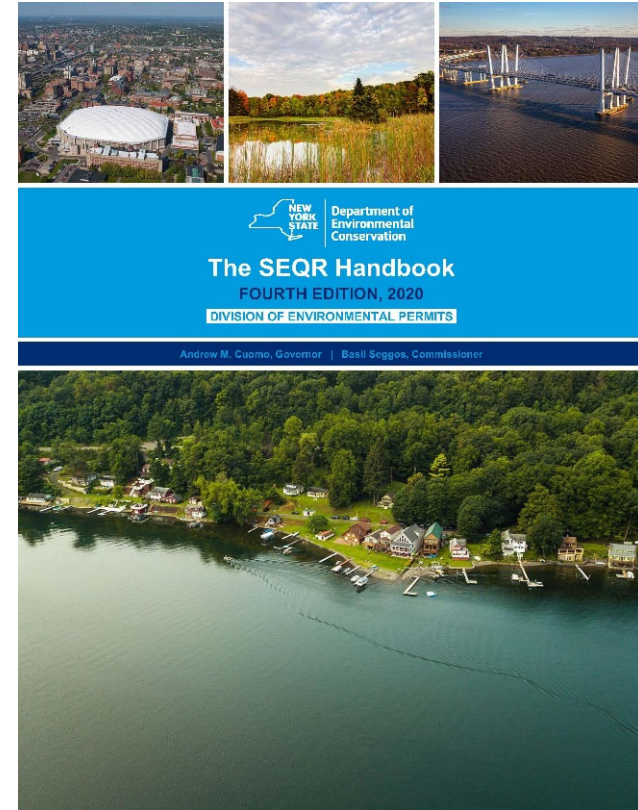


Parks, Recreation
and Historic
Preservation

- Signoff Letter, **NOTE:** Includes National Historic Preservation Act Section 106 stating that the project will have no effect upon cultural resources

SEQR (NYS State Environmental Quality Review Act)

- The documents required by EFC for each SEQR type are listed in the checklist.
- Note that a Coordinated Environmental Review must be conducted for all Type I and Unlisted Actions in connection with Clean Water Act Section 212, 319 and 320 projects under the GIGP (refer to your checklist).



Section 1 - Environmental Review

SEQR (Continued)

- Type II Projects
 - Certified copy of Resolution by the governing body which declares the project a Type II action. This resolution will cite the reason(s) and the specific provision(s) under 6 NYCRR Section 617.5 under which the determination is being made
- Type 1 / Unlisted Projects
 - Resolution of SEQR Type
 - Lead Agency Solicitation Letter(s)
 - *Full EAF and conduct a Coordinated Review (Treatment Works)*
 - *Short EAF with Coordinated Review (Non Treatment Works Unlisted Projects)*
 - Resolution adopting a Negative Declaration
 - Determination of Significance completed by the Lead Agency
 - ENB - Environmental Notice Bulletin publishing the Negative Declaration

Section 1 – Program Compliance

GIGP Minority & Woman-Owned Business Development (MWBE) **GOAL: 20%**

Work Plan

- Establish MWBE Goals
- Designate a Minority Business Officer (MBO)
 - Responsible for overall project compliance with MWBE requirements

End of Section 1

Section 1 Items are needed to enter into a grant agreement with EFC by **May 31, 2023**

Section 2 Items

Items needed in order to disburse/provide funds to the project (once Grant Agreement executed)

Section 2 - Engineering Agreements

Engineering Agreements must be submitted to EFC for Approval

- Must include EFC Mandatory Terms & Conditions
 - <https://efc.ny.gov/terms-conditions>), for Non-Construction Contracts, with required language, guidance & forms.
- EFC **Certificate for Procuring Architectural and Engineering** (A/E) Services
 - The solicitation was publicly announced
 - Evaluation criteria were available in the announcement
 - Criteria were based on demonstrated competence and qualification
 - Attempts were made to discuss anticipated concepts and alternatives with at least three firms
 - Contract negotiations to determine compensation began with the most highly qualified firm. In the event an agreement was not reached, negotiations proceeded to the next most qualified firm

Section 2 - Construction/Bid Documents

- Plans & Specifications
 - Signed & Stamped by NYS Licensed Professional
 - Progress prints required to be submitted for Green Stormwater Infrastructure projects
- Design Report (if applicable)
- Itemized Cost Estimate (showing grant eligible costs)
- Must include EFC Mandatory Terms & Conditions
 - <https://efc.ny.gov/terms-conditions>), for Construction Contracts, with required language, guidance & forms.
 - *Davis Bacon & American Iron and Steel –required for Treatment Works Projects*

Section 2 - Contracts

- Architectural/Engineering & Construction Contracts must be submitted to EFC as a “Conformed Contract Document” Set including:
 - Advertisement for Bid & Proof of Publication
 - Bid Tabulation
 - Contract ID, date, list of bidders and amount of bids
 - Notice of Award
 - Acceptable MWBE Utilization Plan or Waiver
 - Conformed Specifications including:
 - Executed (signed & dated) Contract
 - All Addenda stamped by a NYS licensed P.E.
 - Signed Certification for Contracts, Grants, Loans and Cooperative Agreements
 - Notice to Proceed -with commencement date

Section 2 - Force Account

Force Account

Work Performed by Applicant's Work Force

- Administrative
 - showing title, rates, proposed hours and tasks
- Technical
 - Engineering/Construction
 - Complete "Certificate of Technical Work Force"
 - Signed and Stamped by a NYS Licensed P.E.



Section 2 - MWBE/EEO

MWBE/EEO Applies to:

- All professional services agreements and equipment purchases over the \$25,000 threshold and all construction contracts over the \$100,000 threshold are required to comply with Article 15A of NYS Executive Law, which includes contract language, MWBE goals, EEO requirements and MWBE payment reporting.
- All contracts and subcontracts over the \$10,000 threshold are required to comply with the EEO requirements set forth in the EFC Terms & Conditions.
- **Utilization Plan or Waiver Request Form(s)** – must be submitted to the MBO (for each contract above the threshold), *no later than* the Execution date of the contract.
- **Quarterly MWBE Payment Reports** – payment reports detailing MWBE participation.
 - **NOTE:** if the quarterly reports are not submitted when requested by EFC, payment may be withheld until they are received.

Section 2 - Site Photographs

Construction progress photos required at 30%, 60% and 90% of project construction as well as project completion



Section 3 - Project Closeout

Prior to EFC Retainage Release EFC will require:

- Interpretive Sign (Green Stormwater Infrastructure Projects)
 - See EFC website, <https://www.efc.ny.gov/GIGP>
- Site Inspection EFC reserves the right to inspect the project for compliance with the terms and conditions of the Grant Agreement.
- Final MWBE Quarterly Payment Report
- GIGP Certification of Project Completion- signed by both a NYS Licensed P.E. and authorized representative

Post Webinar Questions

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